



**Stockbroker Instructions and Specifications for Reporting
Information Electronically or Magnetic Media for
Year Ending 12/31/03**

Electronic Transmission of Position Statements

If you choose to send your position statements electronically, new and existing users will need to register to send your files through a secure web connection that has recently been developed. No special communications software is required, simply access to the Internet. You will need to register as a new user and you may do so immediately. Although we recommend using your dealer file number, you can register and choose any user name. The Securenet system will generate a password and e-mail it to you. Please register for Securenet at the site listed below.

<https://bswasecure.net/floridador>

Once registered, you may transmit your file at any time. Your file should be named "it-sb999999d" (999999d should be replaced by your Dealer File number). If you need to send multiple files, each should contain a sequential extension (Example. it-sb999999d.1, it-sb999999d.2, etc). Please be sure to zip multiple or large files before sending. For additional information on transmitting your position statements electronically, please contact e-Services at **e-Services@dor.state.fl.us**.

Magnetic Media Filing of Position Statements

Individual retirement accounts (IRAs), 401K plans, and deferred compensation plans should be **excluded** from the stockbroker position statements.

Round tape reels will not be accepted.

The broker record must be included on each cartridge or diskette submitted. See Section V, Data Records Explanation, paragraph B for details.

All companies reporting on magnetic media are required to complete the transmittal ledger (Form DR-350619), listing all brokerage companies whose customer holdings are included in this filing.

For Year Ending 12/31/03

The following describes the format in which stockbroker position statements are prepared. The position statements should be submitted on cartridge, (CD) or diskette by June 30th of each year. The media should be mailed to: Stockbroker Information Reports, Tape Library, Florida Department of Revenue, 501 Calhoun St., Room G-3, Tallahassee, Florida 32399-0100.

Please follow the instructions and specifications provided below:

I. CD Requirement

ASCII text format: no embedded decimals or signs

****Include carriage return/line feed for each record.**

II. Diskette Requirements

3 1/2" Diskette:

1. Recording density: high
2. IBM PC compatible format
3. ASCII text format: no embedded decimals or signs

****Include carriage return/line feed for each record.**

III. Cartridge Requirements

- A. Standard 3480, or 3490
- B. Densities up to 38k
- C. Number of tracks: 18 or 36
- D. Character set: EBCDIC, UPPERCASE LETTERS ONLY
- E. Parity: odd
- F. Recording mode / fixed length
- G. Labeling Internal Requirements:
 1. Labeled
 2. Only 1 tape mark at the beginning of tape reel
 3. 2 tape marks at the end of tape reel
- H. Blocking factor: Blocks must contain 100 records and records must contain 288 characters (28,800 characters per block).

IV. Labeling

- A. External Requirements:
 1. Name and address of sender
 2. Recording density
 3. Number of cartridge, series beginning with No. 1 and showing total number of cartridges
Example: Cartridge 1 of 2, Cartridge 2 of 2
 4. Stockbroker information report - applicable year

V. Data Records Explanation

- A. Header record: for file control data and filing company related information. Fixed length of 288 bytes.
Required as the first record on the file for companies filing for more than one broker ID or filing for companies with a name other than their own company name.
These include clearinghouses, general dealers, broker dealers, parent companies filing for their subsidiaries, data processing service companies, etc.
- B. Broker record: information related to stockbroker.
Fixed length of 288 bytes. This record must precede the group of security detail records being reported from this broker. It is mandatory that this record be complete. If your file extends beyond one cartridge, CD, or diskette, you must include the broker record on each.
- C. Security detail record: for security related data. Fixed length record of 288 bytes. This record is for data concerning the actual security held by the Florida resident. See Section VI, General Information, for a detailed explanation of data fields.
- D. Broker total record: for controlling the total number of security detail records written for broker and the number of security holders to which these apply. Fixed length record of 288 bytes. One record of this type must be written after the group of security detail records being reported from this broker. It should contain the total information for the previous broker. This record should appear at the end of each broker's information, after which another broker's information can begin.
- E. Total record: for controlling the total number of security detail records written on the file and the number of security holders and stockbrokers to which these apply. Fixed length record of 288 bytes. Required as the last record of the file for all companies required to include a header record. This should include the total for the entire file, which should be the sum of all the broker detail records.

VI. General Information

- A. All numeric fields are in unpacked format, preceded with zeros, right justified and zero-filled when not used.
- B. All alphanumeric fields are to be left justified and space - filled when not used.
- C. The number of shares field should contain the number of units held in a 15 (fifteen) digit field with an implied decimal point between positions 11 (eleven) and 12 (twelve) which allows for 4 (four) positions to the right of the decimal (i.e., PIC 9(11)V9999 in COBOL).
- D. The value per share should contain the value of each individual share as of December 31, previous year, held in a 9 (nine) digit field with an implied decimal point between positions 5 (five) and 6 (six) which allows for 4 (four) positions to the right of the decimal (i.e., PIC 9(05)V9(04) in COBOL). This field should not contain a calculated total amount of shares held.
- E. The total security value field must contain the calculated total value of that security in a 16 (sixteen) digit field with an implied decimal point between positions 12 (twelve) and 13 (thirteen) which allow for 4 (four) positions to the right of the decimal (i.e., PIC 9(12)V(04) in COBOL). In a case where this field is not large enough to hold the total value of the security, divide the security into separate detail records with the identical descriptions and cusips making sure that these records total the total value held by the stockholder.
- F. **The attached Magnetic Media Transmittal should be completed and returned with the cartridge, CD, or diskette.**
- G. Companies filing for more than one broker ID number or filing for a company name other than their own clearing houses, general dealers, broker dealers, companies filing for their subsidiaries, data processing service companies, etc., should include a header record as the first record on the file and a total record as the last record on the file.
- H. Incompatible files or variances from these specifications shall not be accepted. Any file that cannot be read will be returned with the request for replacement.

VII. Special Filing Requirements for Bonds, Mutual Funds, and Futures Contracts

A. Bonds

1. Include 1 (one) detail record for each different type of bond which the customer owns.
2. Describe type and terms of bond in security description field, including interest rate and maturity date.
3. Security type field should equal 'B'.
Explanation: To indicate that a bond value is being reported enter a 'B' in this field.
4. Enter the number of bonds held in the total number of shares field.
5. Use listed market value of each bond as of December 31, previous year for value per share (not face amount or calculated total value).
6. Enter the calculated value of the bonds in the total security value field.
7. Use the cartridge/CD/diskette file description for the remaining fields.

B. Mutual Funds

1. Include 1(one) detail record for each mutual fund in which the customer has holdings.
2. Describe type and terms of mutual fund in securities description field.
3. Security type field should equal 'S'.
4. Use the number of units held for the number of shares.
5. Use value per unit as of December 31, previous year as the value per share (not calculated total value).
6. Enter the calculated total value of the security in the total security value field.
7. Use the cartridge/CD/diskette file description for the remaining fields.

C. Futures Contracts

1. Include 1 (one) detail record for each contract held.
2. Describe type and terms of futures contract in security description field.
3. Security type should contain a space.
4. Use the number of units held for the number of shares.
5. Use cash value of contract as of December 31, previous year for value per share.
6. Enter the calculated total value of the security in the total security value field.
7. Use the cartridge/CD/diskette file description for the remaining fields.

VIII. File Description

A. Header Record

(Clearing house, general dealer, parent company, or data processing services company information)

Position	Field	Length
1 - 1	Record type = 'A'	A01
2 - 5	Calendar year for which holdings are being submitted (Format: CCYY)	N04
6 - 10	Unused field: space fill	A05
11 - 19	FEIN: Federal Employer Identification Number of filing company	N09
20 - 59	Unused field: space fill	A40
60 - 99	Filing company name	A40
100 -139	First address line	A40
140 -179	Second address line	A40
180 -205	City	A26
206 -207	State-U.S. Postal Service code	A02
208 -212	ZIP Code	N05
213 -216	ZIP + 4 Code	N04
217 -224	Date file was created (Format: CCYYMMDD)	N08
225 -234	Dealer file number [Number assigned by the Florida Department of Banking and Finance, Division of Securities (if applicable)]	A10
235 -244	Filing company phone number	N10
245 -288	Unused field: space fill	A44

B. Broker Record

Position	Field	Length
1 - 1	Record type = 'B'	A01
2 - 5	Calendar year for which holdings are being submitted (Format: CCYY)	N04
6 - 10	Unused field: space fill	A05
11 - 19	FEIN: Federal Employer Identification Number of stockbroker	N09
20 - 59	Unused field: space fill	A40
60 - 99	Broker name	A40
100 -139	First address line	A40
140 -179	Second address line	A40
180 -205	City	A26
206 -207	State-U.S. Postal Service code	A02
208 -212	ZIP Code	N05
213 -216	ZIP + 4 Code	N04
217 -224	Date file was created (Format: CCYYMMDD)	N08
225 -234	Dealer file number (Number assigned by the Florida Department of Banking and Finance, Division of Securities)	A10
235 -244	Broker phone number	N10
245 -288	Unused field: space fill	A44

C. Security Detail Record

Position	Field	Length
1 - 1	Record type = 'D'	A01
2 - 10	FEIN/SSN: Stockholder's Federal Employer Identification Number or Social Security Number	N09
11 - 11	Format (FEIN/SSN): Enter '1' for SSN or '2' for FEIN	N01
12 - 12	Unused field: space fill	A01
13 - 52	Security holder name	A40
53 - 92	First address line — This field is mandatory	A40
93 -132	Second address line — This field is mandatory	A40
133 -158	City — This field is mandatory	A26
159 -160	State-U.S. Postal Service code — This field is mandatory	A02
161 -165	ZIP Code — This field is mandatory	N05
166 -169	ZIP + 4 Code	N04
170 -179	Security holder phone number	N10
180 -180	Unused field: space fill	A01
181 -220	Security Description — This field is mandatory	A40
221 -228	CUSIP number of security	A08
229 -230	Unused field: space fill	A02
231 -231	Security type (Specify 'S' for stock and mutual fund, or 'B' for bond. If other: space fill.)	A01
232 -246	Total number of shares: allow for 4 positions to the right of the decimal - do not include the decimal. This field is mandatory	N15
247 -256	Value per share: allow for 4 positions to the right of the decimal - do not include decimal	N10
257 -272	Total security value: allow for 4 positions to the right of the decimal - do not include the decimal	N16
273 -288	Unused field: space fill	A16

D. Broker Total Record

Position	Field	Length
1 - 1	Record type = 'S'	A01
2 - 10	Unused: space fill	A09
11 - 19	Broker FEIN	N09
20 - 59	Unused: space fill	A40
60 - 99	Broker name	A40
100 -109	Total security detail records	N10
110 -119	Total security holders	N10
120 -222	Unused: space fill	A103
223 -232	Broker dealer file number	A10
233 -288	Unused: space fill	A56

E. Total Record

Position	Field	Length
1 - 1	Record type = 'T'	A01
2 - 99	Unused: space fill	A98
100 -109	Total security detail records	N10
110 -119	Total security holders	N10
120 -129	Total stockbrokers	N10
130 -288	Unused: space fill	A159